SGIP Catalog of Standards Development Process Statement: IEEE

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The Smart Grid Interoperability Panel (SGIP) is a membership-based organization created by an Administrator under a contract from NIST to provide an open process for stakeholders to participate in providing input and cooperating with NIST in the ongoing coordination, acceleration and harmonization of standards development for the Smart Grid. The SGIP also reviews use cases, identifies requirements and architectural reference models, coordinates and accelerates Smart Grid testing and certification, and proposes action plans for achieving these goals. The SGIP does not write standards, but serves as a forum to coordinate the development of standards and specifications by many Standards Setting Organizations (SSOs).

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1 Background and Purpose

The entity proposing inclusion of a Standard into the Catalog shall provide materials describing the process under which the proposed specification was developed. This document is part of the required information provided to the SGIP as described in section 4.1 step 2 in the Catalog of Standards Process Description document [1].

1.1 Content of the Development Process Statement (DPS)

The National Technology Transfer and Advancement Act (NTTAA) [2] describes characteristics desirable to aid the uptake of technologies developed, in part, with United States government support. OMB Circular A-119 [3] elaborates the definitions and requirements for voluntary consensus standards. Support for these characteristics is therefore encouraged, although not required.

The organization should make statements of support for the maxims “i” through “v” which are quoted below for reference (NTTAA reference, OMB Circular A-119 section 4 “What are Voluntary, Consensus Standards”; refer to ANSI Essential Requirements: Due process requirements for American National Standards (January 2010) for definitions of terms) [4]. The organization should indicate how support for each maxim in the excerpt below, from the above-mentioned reference, is achieved for the standard:

a. For purposes of this policy, "voluntary consensus standards" are standards developed or adopted by voluntary consensus standards bodies, both domestic and international. These standards include provisions requiring that owners of relevant intellectual property have agreed to make that intellectual property available on a non-discriminatory, royalty-free or reasonable royalty basis to all interested parties. For purposes of this document, "technical standards that are developed or adopted by voluntary consensus standard bodies" is an equivalent term.

(1) "Voluntary consensus standards bodies" are domestic or international organizations which plan, develop, establish, or coordinate voluntary consensus standards using agreed-upon procedures. A voluntary consensus standards body is defined by the following attributes:

(i) Openness.
(ii) Balance of interests.
(iii) Due process.
(iv) An appeals process.
(v) Consensus.

Additionally, the intellectual property rights associated with use of this standard should be described.

1.2 Standards Setting Organizations (SSO) and the DPS

It is assumed that for any Standards Setting Organization (SSO) there is a common process model that guides all developments of the standards by that body. For this reason, the SGIP maintains a single DPS per SSO. However, there are occasions where there are

per-standard circumstances that require additional elaborations. In these cases for sections 4.6 and 5.2 below, provision is made to elaborate this additional information.

In the appropriate sections provided a new subsection is created for each standard where differentiation is to be made. The title of the subsection shall be the number and title of the standard.

In the sections below *italicized* text describes the information to be described. Use this text as guidance for completing this DPS. Retain this descriptive text during edits.

2 Definitions

Appeals Process	<< need definition and reference>>
Balance of Interests	Participants from diverse interest categories (stakeholders) are sought to participate in the standards development process with the objective of achieving balance in the process [5].
Consensus	General agreement, but not necessarily unanimity, and includes a process for attempting to resolve objections by interested parties, as long as all comments have been fairly considered, each objector is advised of the disposition of his or her objection(s) and the reasons why, and the consensus body members are given an opportunity to change their votes after reviewing the comments [3].
Due Process	Any organization, company, government agency, or individual with a direct and material interest has a right to participate by expressing a position and its basis, having that position considered, and appealing if adversely affected [5].
Necessary Patent	A patent or patent claim that **is** necessary or essential to implement a Standard as described and set forth in the relevant Standards-Setting Organization's (SSO) governing rules and procedures. (Note: the SSO may define "Necessary Patents" that are the subject of its IPR Policy differently. The Sponsoring Organization and/or SSO is asked to provide information on the defined terms in this document)
Openness	Participation in the standard development process shall be open to all persons who

	are directly and materially affected by the activity in question, and the committee's activities are publicly available [5].
Sponsoring Organization	Organization that creates, manages, and is otherwise responsible for the maintenance of a specification for consideration in the Catalog.
Standard	The term "standard," or "technical standard" as cited in the Act, includes all of the following: (1) Common and repeated use of rules, conditions, guidelines or characteristics for products or related processes and production methods, and related management systems practices. (2) The definition of terms; classification of components; delineation of procedures; specification of dimensions, materials, performance, designs, or operations; measurement of quality and quantity in describing materials, processes, products, systems, services, or practices; test methods and sampling procedures; or descriptions of fit and measurements of size or strength [3].
Standards-Setting Organization (SSO)	Organization that has defined processes and produces and maintains specifications normally called standards, best practices, and guidelines.

3 Standards to which this DPS applies

Populate the table below with the standards to which this DPS applies.

Table 1: Standards to which this DPS Applies

Standard Number	***Version***	***Standard Title***
All IEEE Standards		

4 Properties of Voluntary consensus standards bodies

For each section below, provide a description of how this SSO supports the topic. If the SSO does not have support for the topic, make that assertion.

The IEEE Standards Association (“IEEE-SA”) is a global standardization body within the IEEE comprised of individual and corporate members and other contributing technologists, who develop consensus-based electro-technical, electronic, information and communication technology standards affecting a broad market base. The IEEE-SA

provides a standards program that serves the global requirements of industry, government, and the public.

As an ANSI-accredited Standards Development Organization, IEEE must comply with the *ANSI Essential Requirements* and the ANSI ER document has criteria for Openness, Balance of Interests, Due Process, Appeals Process, Consensus, and a Patent Policy.

4.1 Openness

See ANSI ER Sections 1.1 and 2.1

IEEE-SA Bylaws
Section 5.2.1.4 http://standards.ieee.org/develop/policies/bylaws/sect5.html#5.2.1.4

4.2 Balance of interests

See ANSI ER Sections 1.3 and 2.3

IEEE-SA Standards Board Operations Manual
Section 5.4.1 http://standards.ieee.org/develop/policies/opman/sect5.html#balance

4.3 Due process

See ANSI ER, various Sections

IEEE-SA Standards Board Operations Manual
Section 5 http://standards.ieee.org/develop/policies/opman/sect5.html

4.4 An appeals process

See ANSI ER Sections 1.8 and 2.8

IEEE-SA Standards Board Operations Manual
Section 5.8 http://standards.ieee.org/develop/policies/opman/sect5.html#5.8

4.5 Consensus

See ANSI ER Sections 1.7 and 2.7

IEEE-SA Standards Board Operations Manual
Section 5.4.3.5 http://standards.ieee.org/develop/policies/opman/sect5.html#5.4.3.5

4.6 Properties of specific standards

5 Intellectual Property Rights (IPR)

Summarize the IPR policy of the SSO and provide links to where the policy may be retrieved or provide it in conjunction with this document (to the extent that this information is publicly available).

The Sponsoring Organization is asked to provide links to relevant information that is maintained on the SSO's Website. If the SSO does not maintain such information on its Website, it will be asked to provide an electronic copy (to the extent that this information is publicly available) to the SGIP that the SGIP can then make available. Preferably, insert this information in the appropriate section as an "embedded object".

Patent Policy is stated in these sources:

IEEE-SA Standards Boards Bylaws

http://standards.ieee.org/develop/policies/bylaws/sect6-7.html#6

IEEE-SA Standards Board Operations Manual

http://standards.ieee.org/develop/policies/opman/sect6.html#6.3

Material about the patent policy is available at

http://standards.ieee.org/about/sasb/patcom/materials.html

5.1 Applicable IPR-related policies

Provide information regarding all applicable IPR-related policies that were in effect with regard to standards produced by this SSO and listed in section 2 (including policies relating to patents, copyrights, confidential information, marks and logos and any other proprietary rights).

IEEE-SA Bylaws

Section 7 see http://standards.ieee.org/develop/policies/bylaws/sect6-7.html#7

http://standards.ieee.org/ipr/copyright.html

IEEE-SA Standards Board Operations Manual

Section 6 http://standards.ieee.org/develop/policies/opman/sect6.html

Section 8 http://standards.ieee.org/develop/policies/opman/sect8.html

Mark and Logos

http://www.ieee.org/about/toolkit/masterbrand/DF_IEEE_MIG_MCT_48654

5.2 Properties of specific standards

There are five categories of information that will be sought: (1) information regarding all applicable IPR-related policies that were in effect with regard to the candidate Standard (including policies relating to patents, copyrights, confidential information, marks and logos and any other proprietary rights), (2) information regarding any IPR-related disclosures or licensing statements regarding the candidate Standard, (3) any written notification to the SSO that an entity holds a Necessary Patent that it is not willing to license in accordance with the SSO IPR policy, (4) any written information regarding published licensing programs in connection with any identified Necessary Patents in connection with the Standard, and (5) any written notification that any Necessary Patents were developed with government funding.

6 Document References

[1] Catalog of Standards Process Description Document, Version 1.0, 23 May 2011, http://collaborate.nist.gov/twiki-sggrid/pub/SmartGrid/StandardOperatingProcedures/Standards_Catalog_Process_and_Structure_V1_0.pdf

[2] National Technology Transfer and Advancement Act (NTTAA), http://standards.gov/standards_gov/nttaa.cfm

[3] OMB CIRCULAR NO. A-119, Revised. http://standards.gov/standards_gov/a119.cfm

[4] ANSI Essential Requirements: Due process requirements for American National Standards (January 2010) http://publicaa.ansi.org/sites/apdl/Documents/Standards%20Activities/American%20National%20Standards/Procedures,%20Guides,%20and%20Forms/2010%20ANSI%20Essential%20Requirements%20and%20Related/2010%20ANSI%20Essential%20Requirements.pdf

[5] NIST Key Terms in Standardization, Global Standards Information: http://gsi.nist.gov/global/index.cfm/L1-5/L2-44/A-87

7 Revision History

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Rev. Number	Date	Author/Editor	Summary of Revisions
0.7	20110701	Marty Burns	Original Version
0.7	20110825	Marty Burns	Updated with IPRWG inputs

7.1 Contributors